

# Custom Layouts

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# Custom Layouts

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## Processing Pell Grant Data – Processing Cycles

Pell Grant processing relies on Electronic Data Exchange (EDE). Schools exchange data with the RFMS routinely. Schools should develop data production and transmission schedules around the various Pell Grant processing cycles. The major processing cycles are:

- Origination Record
- Disbursement Record

The Pell Grant program affords schools maximum flexibility in the timing and content of their transmissions. However, certain rules apply. The RFMS processes school data via the Student Aid Internet Gateway (SAIG, formerly Title IV WAN) daily, in the following order:

- Origination Records
- Disbursement Records
- Special Disbursement Records

Generally, the RFMS retrieves data from the Student Aid Internet Gateway (SAIG, formerly Title IV WAN) four times each day at approximately 6:00 a.m., 8:00 a.m., 1:00 p.m., and 5:00 p.m. (ET). Depending on required turnaround, the RFMS will return processed data to the SAIG three times per day at 8:00 a.m., 12:00 noon, and 5:00 p.m. (ET).

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## Pell Authorization

RFMS sends an Electronic Statement of Account (ESOA) to schools to notify them of their initial authorization. As the school reports disbursements to RFMS, RFMS makes any necessary adjustments to the authorization and notifies GAPS so that funds will be available to the school. RFMS enables the Department to track a school's need for funds as the award year progresses and adjust the school's authorization on that basis.

The Electronic Statement of Account is a 200-byte fixed-length record. ESOAs are transmitted by the RFMS to the SAIG on the same day they are processed by the Department. There are no paper SOAs for 2000-2001; instead, the file is sent in the PGAS message class. ESOAs can be retrieved by your institution at any time for a six-month period following their placement on the network. (If they are not retrieved within this six-month period, they are deleted.)

ESOs are transmitted in batches containing a batch header record, one or multiple ESOs, and a batch trailer record. Descriptions of the contents of these records follow later in this section.

Under SAIG, records are no longer broken into 80-byte segments; therefore, reformatting to recombine transmission segments back into 200-byte ESOA records is no longer necessary.

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## Printing the ESOA

The Department of Education specified format for printing ESOs is provided in Appendix C, ESOA Print Format and Specifications.

EDExpress checks the ESOA record to ensure that an ESOA for the correct award year is printed by the correct software. If you develop your own software, you need to implement the same check.

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# Origination Records

The Origination record establishes a student's eligibility and amount of annual Pell Grant award in the RFMS.

- Origination records are prepared and submitted by institutions to RFMS.
- Origination record data is received and edited by RFMS to ensure that the student is eligible to receive the reported amount of Federal Pell Grant funds and to establish the student account in the RFMS.

After RFMS edits the origination data, it returns the accepted, corrected, or rejected values for each origination record in an origination acknowledgement record. The origination acknowledgement record contains:

- Acceptance status of the record.
- Accepted or corrected value for each data item.
- Comment codes for corrections or rejections.

In a rejected record, all data is sent back as reported by the institution. For accepted records, the origination acknowledgement record also contains an RFMS calculated student scheduled award.

Origination records can be updated if needed when the origination acknowledgement record is received by the institution. Changes to the origination record which result in a reduction of the award amount may result in RFMS generating negative disbursements. Origination award amounts are used to verify disbursement requests.

No changes should be made to any record that has not been acknowledged.

## Submitting Origination Records

### ***Headers and Trailers***

An RFMS submission can include one type of data, such as Origination or multiple types of data such as Origination and Disbursement. To keep the data in order, there is a system of Headers and Trailers.

An example is provided below:

Transmission Header

Transmission batch Header "PGOR00IN"

Grant Batch Header "#O"

Origination Record

Grant Batch Trailer

Transmission Batch Trailer

Transmission Batch Header "PGDR00IN"

Grant Batch Header "#D"

Disbursement Record

Grant Batch Trailer

Transmission Batch Trailer

Transmission Trailer

Schools using EDEExpress for creating batches and EDconnect to send them simply batch and export their data as the instructions indicate and all the Headers and Trailers will automatically be applied when the data is sent to Pell.

Schools using a third party software or a mainframe to process their data can use EDconnect to send the data. EDconnect will apply the Transmission Header and Trailer and the Transmission Batch Header(s) and Trailer(s) to the batches. The third party software or mainframe must create the Grant Batch Header(s) and Trailer(s).

Schools using either a third party software or mainframe to process their data and send it, must create the Transmission Header and Trailer, the Transmission Batch Header(s) and Trailer(s), and the Grant Batch Header(s) and Trailer(s).

The software the school uses to prepare origination records should help it enter data in the correct origination record format. Some fields that can be entered in the origination record are required, and others are optional. The school will need to make sure the information is correct in both types of fields of the origination record for that student.

**Tip:** When a Grant Batch Header fails batch level edits, the entire origination record batch is returned to the institution/servicer. The Grant Batch Header returned provides the Batch Reject Reasons.

## **Construction**

Institutions must be operational for EDE Electronic Payments Service in order to submit Federal Pell Grant origination and disbursement data via the SAIG. (The institution/servicer point initiates an origination record batch by transmitting the following):

- **Grant Batch Header Record:** The grant batch header record reports the institution's identifying code numbers, output media type, and processing dates.
- **Origination Record:** An origination record is included for each student reported in the origination batch. All fields applicable to the recipient must be completed. No fields may be left blank unless noted in the record layout.
- **Grant Batch Trailer Record:** The grant batch trailer record reports the number of student records included in the transmission; amount reported on this transmission; and the total number of records in this transmission.

## **Grant Batch Editing**

The RFMS receives each origination batch from the SAIG and performs specific batch-level edits. If the submission passes all of these edits, the batch is submitted for Federal Pell Grant program processing. If a grant batch fails any of the batch-level edits, the header record is updated to indicate the reason for rejection and the header and trailer are returned to the submitting institution/servicer for corrective action. None of the transaction data in the rejected batch are forwarded to the program for processing.

The grant batch reject reasons field, positions 77 - 100 of the grant batch header record, indicates the specific reject reason(s). Grant Batch Reject Reasons are listed in Appendix D.

Each batch number may only be submitted once to RFMS for processing. If the same batch number is submitted twice, it will be rejected at the second submission. If a batch is sent twice in error at the same time, both batches will be rejected. The batch number in the Grant Header and the Grant Trailer must both be changed with each new batch.

All other fields contain blanks. When the RFMS finds a missing grant batch trailer, the RFMS constructs a grant batch trailer record for the returned batch.



During the edit process, batches are either approved or rejected. For rejected batches, the grant header and trailer are returned immediately to the institution without the detail records. The rejected grant header shall have the comment codes to notify the institution why the batch was rejected. Institutions must resubmit the detail records in new batches with new batch numbers after the errors are corrected. If the Pell Reporting Campus ID number in the grant header record is missing or incorrect, the batch acknowledgement cannot be returned to the school.

The grant batch reject reasons are specific to electronic processing and are different from the edit/comment codes produced in Federal Pell Grant Program processing. Grant batch reject reasons indicate errors related to the transmission of origination and disbursement data between the institution/servicer and the RFMS. The edit/comment codes, on the other hand, apply to all Federal Pell Grant origination and disbursement processing. The text associated with each edit/comment code is provided at the end of this technical reference as Appendix D.

## Origination Record Batch Processing

Federal Pell Grant processing creates an origination acknowledgement for every record sent, minus those transactions that are skipped due to rejected batches. An origination acknowledgement is returned to the institution/servicer for each student record in origination record batches received and processed by the Federal Pell Grant Program. (Origination record batches received and processed **exclude** rejected origination record batches.) All questions regarding these reports should be directed to Pell Customer Service at (1-800/4PGRANT).

RFMS transmits origination acknowledgement batches to the network for pick-up by the institution/servicer. The institution/servicer should receive back an origination acknowledgement batch for each accepted origination record batch it transmits. Batch integrity is maintained during processing.

RFMS transmits origination acknowledgement batches to the network the same day they are processed by the Federal Pell Grant Program. The institution/servicer retrieves the origination acknowledgement batches following their placement on the network.

## Origination Acknowledgement Records

Origination acknowledgement records contain the data reported by the institution/servicer on the origination records, Edit/Comment codes, and any corrections or reject reasons applied during Federal Pell Grant processing of the origination records.

The institution/servicer must review each origination acknowledgement batch for corrections applied and for rejects; then correct the data as required. The institution/servicer corrects origination acknowledgements by transmitting a new origination record for each student whose data requires changes.

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## Disbursement Records

Disbursement records are used to report student Pell Grant disbursement data to ED. They also determine and commit the amount of Federal Pell Grant funding available to each institution.

As in prior award years, each institution under the advance payment method receives an initial authorization as start-up funding. For example, if the initial authorization amount established by the Department is \$100,000 and the institution reports disbursements totaling \$101,000, that institution's authorization will increase by \$1,000. Institutions will receive Electronic Statements of Account (ESOA) for each adjustment to their authorization, after the disbursements exceed the initial authorization.

There are two types of disbursement records:

- **Disbursement Record** – a simple Electronic Data Interchange (EDI) compliant record. This record is used by advance funded or Just-In-Time Pilot institutions.
- **Special Disbursement Record** – a record that includes regular disbursement and additional payment-period-specific data. This record must be used by institutions that have been placed on the reimbursement payment methods by ED or institutions that cease to participate in the Federal Pell Grant program sometime during the award year. All other institutions have the option to use the Special Disbursement Record.

Institutions prepare and submit disbursement records to RFMS for each disbursement made to a recipient, using EDEExpress or their own software. Each student disbursement record must have a unique reference number. In assigning these numbers, it is recommended that institutions start with number one (01) for a student and use consecutive numbers for each additional disbursement transaction submitted to the Department for that student. (Note that 75-99 are reserved for ED use.)

RFMS receives and edits the disbursement record against accepted origination records. If an origination record match is not found, RFMS rejects the disbursement record. If a disbursement exceeds the accepted origination record annual award or 100% of the student's eligibility across all institutions, RFMS corrects the record by adjusting it downwards.

## **Disbursement Acknowledgement Records**

After RFMS processes disbursement records for an institution, it sends the institution a disbursement acknowledgement. These acknowledgements provide institutions with an accurate and timely status of their accepted Federal Pell Grant disbursements. With this information, institutions can reconcile their disbursement records with the Department.

If disbursement records are submitted with origination records, RFMS processes the origination records before the disbursement records. If RFMS rejects the origination record, it will also reject the disbursement record. It is recommended that institutions send origination records to RFMS early so that records can be edited and problems resolved before institutions make disbursements to students.

### ***Special Disbursement Acknowledgement Records***

After RFMS processes special disbursement records for an institution, it sends the institution a special disbursement acknowledgement, unless the school is on reimbursement. If the school is on reimbursement, after processing the results are placed on hold until CMO (Case Management Oversight) accepts the batch and releases the hold. Once the hold is released, the acknowledgement is sent.

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## **Data Request Records**

The Data Request record is submitted by the school to request information files from RFMS. These files are Multiple Reporting, Statement of Account, and Year-to-Date data. The Multiple Reporting Record and Statement of Account are sent throughout the Award Year by RFMS automatically as they are generated. By using the data request, schools can also obtain this information on demand. The Year-to-Date file must always be requested by the school.

A Data Request may be sent electronically, as a file, or may be submitted through the RFMS Web page ([www.pellgrantsonline.ed.gov](http://www.pellgrantsonline.ed.gov)). Each request must include the attending campus Pell ID of the school and the type of data requested. Unlike the Student Payment Summary of prior years, requesting the information with the reporting campus Pell ID will not send the data for each branch campus.

## **Data Request Acknowledgement Records**

After RFMS processes data request records for an institution, it sends the institution the information they requested or they will receive a rejection in a data request acknowledgement which is different from other record acknowledgements.

### ***Institution Data Records***

The Institution data record contains changes to the institution's data.

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## **Multiple Reporting Records**

The multiple reporting record (MRR) process is a new function of the RFMS that became available after July 1999 for the 1999-2000 and 2000-2001 processing years.

The MRR provides information to an institution about a student's origination and disbursement status at other institutions and the amount of the scheduled award disbursed. This new function allows institutions to identify the two primary types of multiple reporting conditions: concurrent enrollment and eligibility overaward. MRRs may be requested at any time by submitting a data request record. An MRR can be system generated automatically by RFMS or requested if a disbursement record is submitted and the system detects a Potential Overaward Project (POP) condition. POP is a process that prohibits an eligible student from receiving more than the maximum Federal Pell Grant scheduled award amount when two or more institutions report disbursements for the same student.

## **Multiple Reporting Record Process**

Institutions prepare and submit origination records for eligible students to RFMS using EDEExpress or their own software. After an institution receives an Origination Acknowledgement, it may submit a data request record with a type code of "M" (for multiple). RFMS receives and edits the MRR data request to verify that the student has been originated at that institution and that the physical layout of the record is accurate. If the record passes these edits, RFMS will search the database to identify all other originations and disbursements submitted by other institutions for the students requested on the MRR. RFMS returns the data requested or rejects the request. If the request is rejected, RFMS acknowledges the receipt of the request and identifies the reason for its rejection.

For example:

- If a data request record containing correct data is submitted after the institution has processed origination records, RFMS will accept the record and return an MRR for every student the institution has originated that has been originated by another institution.
- If an institution submits a data request record but RFMS cannot find originations or disbursements to return on the MRR, RFMS will produce a rejection indicating there was no data.
- If an institution specifies an MRR type code 2 of “S” (for student) and leaves the student identifier blank, RFMS will reject the record and produce an acknowledgement telling the institution the request was incomplete.

Institutions are encouraged to request MRRs prior to requesting disbursements to reduce the number of problems with POP.

A copy of the edits that RFMS uses to process data request records is included at the end of this section in Appendix D.

To provide additional assistance in submitting data requests records and the most effort-free process as possible, many of the RFMS edits have been incorporated into the 2000-2001 EDEExpress software.

## **Requesting Multiple Reporting Records**

There are several options available to you when requesting a MRR. An institution can submit a data request created in either EDEExpress, their own software, or on the RFMS Web page ([www.pellgrantsonline.ed.gov](http://www.pellgrantsonline.ed.gov)).

The requesting institution must submit their data request in any of these platforms with the following information:

- Attending campus
- Multiple Reporting Request Code 1 = indicates the institution is requesting data about Originations or Disbursements
  - O = Send Origination information
  - D = Send Disbursement information

- Multiple Reporting Request Code 2 = indicates the institution is requesting data for a selected student, a selected institution or all students
  - S = Send other institutions for selected student
  - I = Send students for selected institutions
  - A = Send all students
- MR Student ID = The Student SSN and Name code is required if a selected student was indicated in Multiple Reporting Record Code 2, otherwise leave blank.
- MR Institution Pell ID = The Pell ID for the selected school that was indicated in Multiple Reporting Record Code 2, otherwise leave blank.

In order to ensure that you receive the data that you are requesting caution should be used when building your request.

Most institutions will be requesting the Multiple Reporting Request Code 1–D and Multiple Reporting Request Code 2–A. This will provide a listing of all of the institution’s students who have received funding from any other institution in the current award year.

A request for Multiple Reporting Request Code 1–O and Multiple Reporting Request Code 2–A will result in a tremendous amount of data and is not recommended. This request will provide a listing of all of the institution’s students who were originated at any other institution in the current year. A student may send their FAFSA to as many as six institutions and all six institutions may send an origination record and this would be multiplied by the number of students at the requesting institution.

The following are the guidelines for which combination of Multiple Reporting Request Code 1 and Multiple Reporting Request Code 2 to use:

- O + A    Originated students for all institutions
- O + S    Selected originated students
- O + I    Originated students for selected institutions
- D + A    Disbursed students for all institutions
- D + S    Selected disbursed students
- D + I    Disbursed students for selected institutions

## **Types of Multiple Reporting Records Produced by RFMS**

The two primary types of multiple reporting conditions that RFMS will identify are concurrent enrollment and eligibility overaward. In the case of concurrent enrollment, RFMS automatically generates and sends each institution an MRR with a type code of "CE." In the case of eligibility overaward, RFMS sends the blocking institution an MRR with a type code of "PB" and the blocked institution an MRR with a type code of "PR." Because concurrent enrollment and eligibility overaward can occur simultaneously, RFMS produces combination codes of "RC" to the blocked institution and "BC" to the blocking institution.

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## **Potential Overaward Project (POP)**

When Institutions submit a disbursement request, RFMS searches the database to determine if another institution has submitted a disbursement for the same student. If RFMS finds another disbursement, the system checks the enrollment date reported by that institution and calculates the total amount of the scheduled award disbursed. If the enrollment date at the other institution is within 30 days of the enrollment date the requesting institution has reported, or if the total Pell Grant award disbursed plus the disbursement being requested exceeds the student's scheduled award, RFMS produces a MRR for both institutions and, if necessary, reduces the amount of disbursement.

Using the new RFMS, institutions submit disbursement records only when they disburse funds to students and POP conditions are reported daily. Institutions now have the capability to identify possible POP problems before they disburse funds by requesting an MRR. If institutions do not identify POP situations before disbursing funds to students, RFMS automatically sends MRRs to the disbursing institution and the other institution(s) when it processes overaward disbursement records.

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## Electronic Requests for RFMS Data Batches

To assist schools in maintaining their student information within the EDEExpress software databases, the Department makes available:

1. Reposting individual acknowledgement batches within six months of posting in Student Aid Internet Gateway (SAIG, formerly Title IV WAN), and
2. A complete file of origination and disbursement data records processed year-to-date by the RFMS.

To have an acknowledgement batch reposted, contact SAIG.

You may send a request for the YTD electronically, via a feature in the EDEExpress software. The request is built and sent to SAIG by the software. The screens showing this feature will lead you through the process. The RFMS picks up the request, validates the request, then builds and sends the requested data back to the requesting institution/servicer through the SAIG.

**Note:** You may continue to use current methods of calling the Pell Customer Service, or submitting a letter to request the data.

To help schools reconcile their databases with the RFMS master files, Year-to-Date (YTD) data is available electronically. The EDEExpress software compares each student's RFMS record against the corresponding record in your database and alerts you of any differences. The Department discontinued sending SPS' on paper and/or tape to institutions automatically with the beginning of the 1998-99 processing year. Instead, YTDs are provided in the media that the institution requests when they submit their requests.

**Note:** As of the 2000-2001 award year, all schools are required to transmit electronically.

You can use the RFMS Web page at [www.pellgrantsonline.ed.gov](http://www.pellgrantsonline.ed.gov) or refer to the RFMS Record Layouts to populate the data request record for submission to SAIG.



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## 2000-2001 RFMS Record Layouts

The remainder of this section includes the following: 2000-2001 RFMS Record Layouts:

### ***Receiving and Processing ESOAs***

- ESOA Record Description (Summary)
- ESOA Record Description (Detail)

### ***Printing the ESOA***

- Print Format
- ESOA Printing Guidelines

### ***Creating an Origination Record***

- Grant Batch Header Record Description
- Origination Record Description
- Institution Data Record Description
- Grant Batch Trailer Record Description

### ***Batch Reject Reasons***

- Origination Record Batch Errors Description

### ***Receiving an Acknowledgement***

- Origination Acknowledgement Record Description (For All Other Origination Record Input)
- Institution Acknowledgement Record Description

### ***Importing Data to Populate Databases***

- Origination (External) Record Description
- Disbursement (External) Record Description

### ***Electronic Data Request***

- Multiple Reporting, SOA, YTD Record Description
- Multiple Reporting Record Description
- YTD Record (Disbursement) Description
- YTD Record (Summary) Description

### ***Other Record Descriptions***

- SAIG Transmission Header Record Description
- SAIG Transmission Batch Header Record Description
- SAIG Transmission Batch Trailer Record
- Disbursement Record Description
- Disbursement Acknowledgement Record Description
- Special Disbursement Record Description
- Special Disbursement Acknowledgement Record Description